

First-level supervisor evaluation

[This evaluation form - PDF](#) is a sample form with sample instructions. It is offered here only as an example of a type of form a Department may use in whole or in part, when completing annual performance evaluations of first-level supervisors. This sample form and the competencies it incorporates are ONLY applicable to first-level supervisors who are being evaluated by their supervisor or manager. It is NOT intended and should NOT be used for any represented employees. This form is a work-in-progress and the Department of Personnel Administration encourages and invites feedback about it, including whether it made evaluations easier or more manageable. Please address your comments, pro or con, to jodi.traversaro@dpa.ca.gov.

Purpose of this performance evaluation tool

The purpose of this competency-based performance evaluation tool is to assist managers of first-level supervisors with assessing performance, communicating expectations, building state leadership competencies, formally evaluating and recognizing outstanding work. This evaluation tool may also be used for self-assessment by first-level supervisors. This sample tool, derived from the State's General Leadership Competency Model, identifies many of the general qualities shared by over all classifications of State Leaders (that is, all supervisors and managers).

The competency or competencies you select for inclusion in the evaluation form you develop must be job-related and consistent with the first level supervisor's job description and job classification. The first-level supervisor being evaluated needs to understand the competencies you consider significant to his/her job performance before the evaluation takes place. For information about how competencies can be used to hire, manage, and develop employees, an on-line 2 hour tutorial is available at <http://www.dpa.ca.gov/hr-modernization/competency-course/index.html>. An integrated, competency based HR system will help ensure that what you describe as required for a job, is what you hire for, train to, and what you use to evaluate job performance. Additional competency based HR tools can be found at <http://www.dpa.ca.gov/hr-modernization/tools/main.htm>.

It is expected that Evaluators will pick and choose the general competencies included in this document most relevant to the first-level supervisor position being evaluated. However, Evaluators may not modify the wording of the competency itself, the behavioral indicators, nor the successful performance level descriptions, because doing so undermines the broad-base of the model and its overall validity. The "successful" performance benchmarks were analyzed and developed through a validated process that included input from a panel of HR experts as well as incumbents. The "unacceptable" and "exceptional" descriptions are provided here as examples only.

Additional job-related occupational and technical competencies and associated behaviors at each performance level can be added to customize this evaluation tool for a first-level supervisor position and/or for the organization.

Please work with your Human Resources Office before finalizing your first-level supervisor evaluation form. The State's competency dictionary, classification specifications, duty statements, and the Agency/Department Strategic Plan can be used to identify additional job related competencies necessary to customize this evaluation tool.

Suggested tips for customizing this evaluation tool for your first-level supervisor Leaders

- To obtain a customizable version of this guide, please [contact us](#).
- Once you receive the copy, use the "File Save As" feature.
- Edit the document so that it includes only the job required and related general competencies that you have identified for inclusion in your performance discussions.
- Edit the document so that it includes the associated successful, exceptional, and unacceptable performance benchmarks.
- Add any competencies specifically related to the organization, the classification, and/or the job specific technical competencies along with the associated successful, exceptional, and unacceptable performance benchmarks.
- It can be hard to get started writing performance evaluations. There is a [competency dictionary on DPA's website](#) that may help. Remember, as much as you are rating your employees, your employees are also rating you and your department as a place they want to work. Without feedback and development, you may lose them. Be sure to work with staff in your department's HR Office if you need help.

Be thorough and be accurate

Make a copy of the evaluation for your first-level supervisor to use to self-evaluate or take notes on.

The comments should include examples of the behavior's observed (during the performance discussion, comments can be added based on what is shared).

"First-Level Supervisor" definition

A "first-level supervisor" is defined as a working supervisor who may perform the most difficult or sensitive work and supervises a small group or unit and provides day-to-day supervision in one or more functional areas.

How one can use this performance evaluation tool?

Sample instructions for the Evaluator (that is, Supervisor/Manager) of first-level supervisor

1. Review the First-Level Supervisor's job description, the Strategic Plan, the workforce plan, and the program objectives. Review the sample performance evaluation tool. Do additional competencies need to be added? Which competencies are critical to successful job performance? Include these competencies in the evaluation. Delete the general competencies that you will not be using from the form. Refer to the Performance Management Resource Center for ideas. Work with your HR Professionals

and if necessary, customize the tool for the position and the organization. To obtain a customizable version of this tool, [please email us your feedback](#).

2. Consider the job performance that you have observed and what deliverables and assignments have been completed. Some things to consider may include: has the supervisor used the required competencies to complete tasks; has the supervisor used proper work habits; is the supervisor meeting work commitments; and does the supervisor display the ability to learn the necessary information to complete assignments. When conducting a competency based evaluation, these competencies can first be identified in the job description. In order to honestly assess a supervisor's skills at their job, they must have a job description that accurately reflects what they are doing. Everything should tie back to the job description. Please refer to the [Sample Competency-based Job Description](#) for ideas on how to incorporate competencies into a First Level Supervisor job description.
3. Complete the Performance Evaluation based on your observations. For each applicable competency, mark as many behaviors that apply to the observed performance for that competency by checking the box next to the observed behavior and document examples in the "Comments" Section.
4. Once you have completed assessing the First-Level Supervisor's performance for each competency, mark the appropriate bubble (unacceptable performance, improvement needed, successful performance, highly successful performance, exceptional performance) at the bottom of the appropriate performance level column that identifies your overall rating for that competency.
5. Consider what you will say to the First-Level Supervisor and how you will acknowledge his/her accomplishments, deficiencies, developmental areas, and, if applicable, lessons learned.
6. Schedule a meeting with the First-Level Supervisor to discuss the completed Performance Evaluation.
7. Create an Action Plan with the First-Level Supervisor including assignments and training that can be used to evaluate performance or enhance job related or occupation related competencies consistent with the behaviors identified for their position.
8. Recognize exceptional performance. (See the companion Performance Management Resource Center (insert link) and downloadable guide for suggestions.)
9. Provide a confidential copy to the first-level supervisor, and submit the confidential evaluation form and any supplemental written information confidentially to the HR Office and separately, send the Action Plan or Training Plan to training office.
10. Follow up on any employee development commitments.

Optional self-evaluation by the first-level supervisor

On occasion, it is useful to have the first-level supervisor complete his or her own evaluation. You may want to consider having the first-level supervisor complete the evaluation form you develop to explain their view of their own job performance as a conversation starter.

A self-evaluation can be used by the Evaluator to compare to his or her views of how the first-level supervisor is performing to the first-level supervisor's perception of their performance. The differences can be useful to identify communication gaps and solutions, among other things and may increase the first-level supervisor's commitment to any action plans that result from the evaluation.

If you believe it would enhance the evaluation process to have your first-level supervisor participate by completing the evaluation, consider providing this blank form, a link to the performance management resource center, and any departmental policies and procedures to the first-level supervisor, along with a copy of the classification specification, and job description.

Evaluators need to avoid being perceived as unfair by letting some direct reports self-evaluate, but not others. Discuss your plans with your superior and if necessary, with Human Resources staff to make sure your approach for the personnel in your unit seems sound and is supported.

Performance Levels

Unacceptable Performance

Performance is consistently below expectations in most essential areas of responsibility, and/or fails to meet reasonable progress towards critical goals.

Improvement Needed

(use bubble between Unacceptable performance and Successful performance)

Performance does not consistently meet expectation and requires improvement; requires more than average guidance. Performance is between the levels described for Successful Performance and Unacceptable Performance.

Successful Performance

Effective performance that consistently fulfills expectations and at times may exceed expectations.

Highly Successful Performance

(use the bubble between Successful performance and Exceptional performance)

Consistently strong level of performance; meeting and often exceeding the performance goals of the job; goals are consistently achieved, regularly overcoming significant challenges; work that is characterized by a consistently high level of accomplishment; typically independently demonstrates fully proficient knowledge, skills, abilities, and personal characteristics for the required work. Performance is between the levels described for Exceptional and Successful Performance

Exceptional Performance

Performance consistently far exceeds expectations due to exceptionally high quality of work performed in all essential areas of responsibility resulting in an overall quality of work that is superior.

For information on how apply best practice performance management solutions, please review the DPA Performance Management Resource Center and downloadable Guide and contact your HR Professional.

Examples

- [Sample performance evaluation of a first-level supervisor - PDF](#)
- [Example 1: Sample development action plan for a first-level supervisor – PDF](#)
- [Example 2: Sample development action plan for a first-level supervisor – PDF](#)